

## **Chapter 4**

# **Developing Projects Using the Local Agency Guidelines**

### **4.1 General Discussion**

The previous three parts of this manual explained how local agencies may qualify to receive Federal Highway Administration (FHWA) funding for their transportation projects. The remainder of the manual explains procedures for developing specific projects.

Once a local agency has qualified to receive FHWA funds, as described in Chapter 2, the next action is to apply for authorization of funds to develop specific projects in its transportation program. Depending on their size and complexity, different projects may require different development procedures. The remaining parts of the manual are arranged to reflect these differences.

The next part, “General Project Development,” Chapters 6-12, describe activities required during preliminary engineering on all projects.

The parts entitled “Design” and “Construction and Post Construction,” Chapters 13-17 and 18-20, offer the local agency a choice of procedures, depending on whether the state will administer its construction contracts.

The specific requirements for a project may change as project development progresses and as more information about a project becomes available. Further details of the specific requirements are shown in the Project Development Process Flow Chart and Checklist. The meanings of unfamiliar terms may be found in the Glossary. Once the local agency has identified the steps required on a particular project, only the parts in the manual that deal specifically with those steps need to be referred to.

### **4.2 Project Development Process Overview**

This section describes the project development process by setting forth project phases, documentation requirements, options for construction administration, and required reviews and approvals.

#### **4.21 Phases of Authorization**

FHWA funds may be authorized for the following project phases:

- a. Preliminary engineering
- b. Right-of-way acquisition
- c. Incidental Construction
- d. Construction
- e. Construction Engineering

Requests for preliminary engineering funds are required to be made in advance of the right-of-way acquisition, environmental studies, or public hearings to receive proper reimbursement for the costs. Construction funds may be requested with preliminary engineering funds when:

- a project does not require any of the items mentioned in the previous paragraph,
- the final Environmental Document approved, and
- the local agency will start construction within six months of fund authorization.

**4.22 Documentation Required for Authorization of Funds.**

- a. Preliminary Engineering Funds. When applying for preliminary engineering funds only, the following documents are required:
  1. Project Proposal (Chapter 6).
  2. Local Agency Agreement (Chapter 7).
  3. Typical sections, vicinity map, and evidence of PCC Approval date, TIP/STIP inclusion.
- b. Right-of-Way Funds. When applying for right-of-way funds, after preliminary engineering funds have developed right-of-way plans, the following documents are required, if appropriate:
  1. Supplement to original Local Agency Agreement (Chapter 7).
  2. FHWA approval of environmental documents (Chapter 9).
  3. Relocation plan, if relocation is required (Chapter 10).
  4. Right-of-way plan (Chapter 10).
  5. Right-of-way Project Funding Estimate or True-Cost estimate (Chapter 10).
  6. Evidence of TIP/STIP inclusion.
- c. Incidental Construction
- d. Construction Funds. The following documents must be submitted to request construction funds:
  1. Supplement to Local Agency Agreement.
  2. Right-of-way certification (if required).
  3. Final FHWA approval of environmental documents (Chapter 9).
  4. Evidence of TIP/STIP inclusion.
  5. PS& E
- e. Combined Preliminary Engineering and Construction Funds (no right-of-way acquired). When applying for preliminary engineering and construction funds simultaneously, the following documents are required:
  1. Project Proposal.
  2. Local Agency Agreement.
  3. Final FHWA approval of environmental documents (Chapter 9).
  4. Typical sections, vicinity map, and evidence of STIP inclusion.

**4.23 Construction Contract Administration**

The local agency has the option of:

- a. Administering the contract if it has approved certification acceptance procedures and operates in compliance with Chapter 3.

- b. Requesting that MDT administer the contract.
- c. Performing contract administration by a consultant (Chapter 12). The local agency still must have a full-time employee in charge.

#### 4.24 Reviews and Approvals

The chart below shows required approvals for urban projects using local CA. These actions apply to non-NHS, regardless of project funding source.

Action	Local STP-U
a. PE Fund Auth. and Modify/Supp.	FHWA
b. Exceptions to Design Stan.	State
c. Design App. (inc. prelim. And dv. detail br. plan app.)	Local Agency
d. Experimental Work Plans	FHWA
e. PS&E Approval	FHWA
f. State furnished mat. Cost- effective determination	Local Agency
g. Prop item, pub. mt. find.	FHWA
h. Concurrence in Award	State
i. Buy America Exemption	FHWA
j. Tied Bids	Local Agency

When the local agency is the approving authority for any phase of work, it must operate within the *Local Agency Guidelines* and all applicable federal, state, and local laws and regulations. As outlined in Chapter 3, MDT will monitor the agency's procedure. MDT is the approval authority when the local agency is not certified.

#### 4.3 Standards

STP-Urban standards are addressed in Chapter 14. The local agency and any consultant(s) and/or contractor(s) it may employ will design the project to MDT Geometric Design Standards for Urban and Developed Areas and to serve design year traffic. The following documents provide additional guidance and can be used as long as they do not conflict with the MDT Geometric Design Standards for Urban and Developed Areas: *AASHTO – A Policy on Geometric Design of Highways and Streets*; *Montana Public Works Standard Specifications (MPWSS)*.

#### 4.4 Project Development Process Flow Chart and Checklist

The flow chart (see Appendix 4.51) and checklist (see Appendix 4.52) depict the sequence of major activities necessary to develop transportation projects using FHWA funds.

It is recommended that a copy of the checklist be inserted in the project file and used to initiate and document the activities necessary to complete a project.

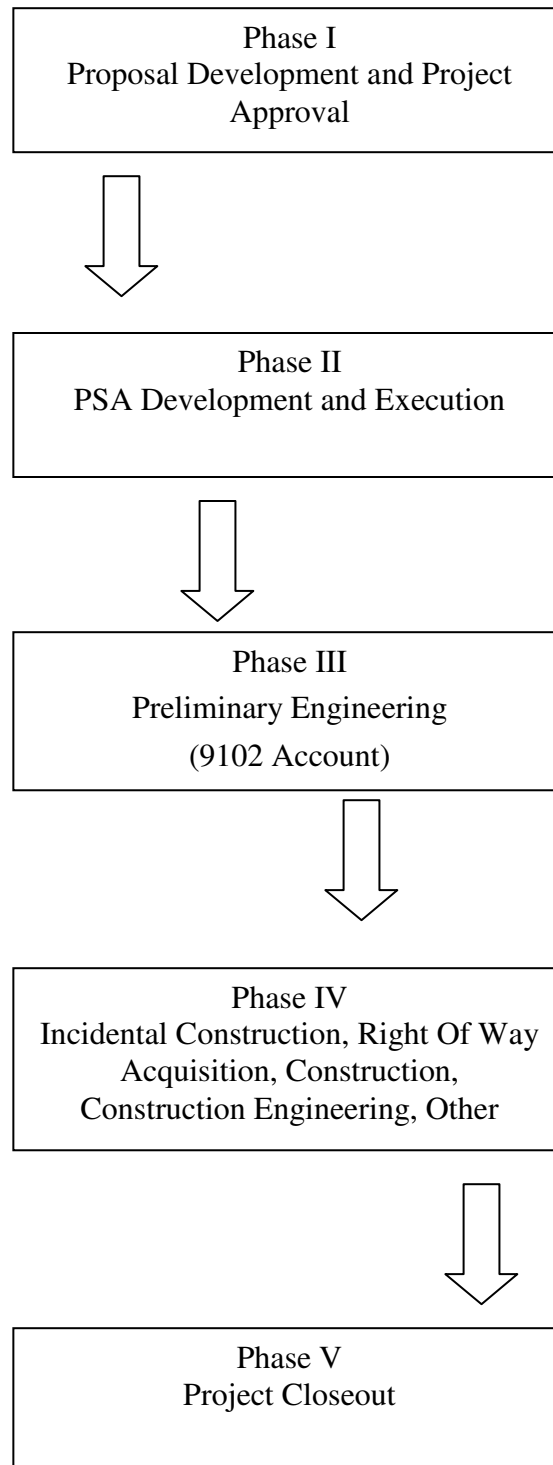
**4.5 Appendices**

4.51 Project Development Process Flow Chart

4.52 Project Development Checklist

## Appendix 4.51

## Project Development Flow Chart



**Appendix 4.52      Project Development Checklist**

Project Title: \_\_\_\_\_

Project Location: \_\_\_\_\_

Road or Street Number: \_\_\_\_\_ FA Program: \_\_\_\_\_

**Project Initiation**  
(Chapter 2)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Project in STIP
_____	_____	Federal aid program form (Sheet 1 of Proposal) to:
		_____ Metropolitan planning organization
		_____ Or MDT CTEP Office
_____	_____	Program of projects approved by appropriate agency

**Project Proposal**  
(Chapters 6, 9, 13, and 15)

_____	_____	<b>Sheet 1</b>
		_____ Project information, local agency project number
		_____ Description of proposed work and existing facility
		_____ Cost estimate of all phases
		_____ Proposed obligation date
		_____ Environmental determination (Cat Ex, EIS, EA)
		_____ Request species listing from USFWS and MNHP
		_____ Signature block
_____	_____	<b>Sheet 2</b>
		_____ Geometric design data
		_____ Accident data
		_____ Environmental considerations
		_____ Performance of work
_____	_____	<b>Sheet 3</b>
		_____ Right-of-way relocation
		_____ Utility relocations
		_____ FAA Involvement
		_____ Signature
		_____ Resurfacing and Rehabilitation safety checklist, typical roadway, vicinity map
_____	_____	Project application checklist

### Local Agency Agreement (Chapters 7 and 8)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Billing address
_____	_____	_____ Description of work matches proposal
_____	_____	_____ Check math on agreement
_____	_____	_____ Federal aid matching percentage
_____	_____	_____ Method of financing
_____	_____	_____ Agreement signed by approving authority

### Request Preliminary Engineering Funds (Chapter 4)

_____	_____	Project programmed
_____	_____	Project application package to MDT CTEP Engineer
_____	_____	_____ Project proposal with attachments
_____	_____	_____ Local Agency Agreement
_____	_____	_____ Project application checklist completed
_____	_____	PE funds authorized by MDT CTEP Engineer

### Consultant Selection Process (Chapter 12)

_____	_____	Independent estimate for consultant services and recommendation (request) to approving authority
_____	_____	Receive approval to advertise for consultant services
_____	_____	Advertise for consultant services
_____	_____	Develop consultant evaluation selection criteria
_____	_____	Select minimum of three best-qualified firms
_____	_____	Submit request for approval of selected firm to approving authority
_____	_____	Conduct pre-award audit (if necessary) before negotiations
_____	_____	Approving authority approves selection, negotiation begins
_____	_____	Negotiation completed submit final draft of agreement, etc., to the approving authority
_____	_____	Receive approval from approving authority
_____	_____	Agreement signed by consultant
_____	_____	Agreement executed by approving authority (consultant may now begin work)
_____	_____	Notice to proceed sent to the consultant
_____	_____	Send copy of agreement to MDT CTEP Engineer.

### Consultant Administration (Chapter 12)

_____	_____	Oversee the consultant's work and billings to ensure compliance with the agreement
_____	_____	Prepare diary to record discussions and visitation with the consultant
_____	_____	Check consultant billings regarding employee classification, wage rate, actual invoices for direct non salary costs, etc.
_____	_____	Enter consultant payment on ledger system
_____	_____	Conduct consultant employee interviews

**Environmental Processes**

(Chapter 9)

Initials      Date  
                          or N/A

Categorical Exclusion

For Categorical exclusion to be approved by FHWA complete the Endangered Species Act (ESA)

Biological Assessment

(BA) process and Section 106 process

\_\_\_\_\_ Submit species listings requests

\_\_\_\_\_ Submit determination of APE to MDT Cultural Resource Staff

\_\_\_\_\_ Complete the Environmental Classification Summary (ECS) using the listings

\_\_\_\_\_ Submit completed draft biological resource report (BRR) to MDT CTEP Engineer

\_\_\_\_\_ Programs for review

\_\_\_\_\_ Submit completed Section 106 documentation to MDT CTEP Engineer

\_\_\_\_\_ Revise and re-submit BRR to MDT

\_\_\_\_\_ Get concurrence from MDT and/or USFWS

\_\_\_\_\_ Get concurrence as necessary for affects greater than "no affect" from MDT and/or USFWS

\_\_\_\_\_ Submit concurrence letters for BRR and Section 106 requirements, final BRR, final Section 106 documentation, and final ECS to MDT CTEP Office for FHWA approval

Environmental Assessment

\_\_\_\_\_ Prepare MEPA/NEPA checklist for local environmental assessment

\_\_\_\_\_ Submit draft environmental assessment to MDT CTEP Engineer

\_\_\_\_\_ Revise draft environmental assessment

\_\_\_\_\_ Approve draft environmental assessment

\_\_\_\_\_ Publish environmental assessment notice

\_\_\_\_\_ Publish opportunity for public hearing

\_\_\_\_\_ Submit revised environmental assessment and legal notice to MDT CTEP Engineer

\_\_\_\_\_ Finding of no significant impact by FHWA

-or-

\_\_\_\_\_ Establish requirement for Environmental Impact Statement

**Environmental Impact Statement**

(Chapter 9)

\_\_\_\_\_ Publish notice of intent

\_\_\_\_\_ Submit interdisciplinary team recommendations to project manager

\_\_\_\_\_ Develop public involvement plan

\_\_\_\_\_ Develop data inventory and evaluation from interdisciplinary team

\_\_\_\_\_ Project manager reviews preliminary discipline reports

\_\_\_\_\_ Submit preliminary Draft Environmental Impact Statement to MDT CTEP Engineer

\_\_\_\_\_ Receive Montana Department of Transportation comments on above

\_\_\_\_\_ Submit camera-ready Draft Environmental Impact Statement to MDT CTEP Engineer for signature

\_\_\_\_\_ Receive approval to print Draft Environmental Impact Statement

\_\_\_\_\_ Submit circulation copies to MDT CTEP Engineer

\_\_\_\_\_ Publish in Federal Register (minimum 45 days comment period)

\_\_\_\_\_ For state route, obtain Montana Department of Transportation approval before advertising for public hearing

\_\_\_\_\_ Advertise opportunity for public hearing

\_\_\_\_\_ Submit preliminary Final Environmental Impact Statement and draft record of decision to MDT

\_\_\_\_\_ Receive comments from MDT CTEP Engineer

\_\_\_\_\_ Receive approval to print Final Environmental Impact Statement

\_\_\_\_\_ Submit final Environmental impact Statement to MDT CTEP Engineer

Date



Initials      or N/A

_____	_____	Receive FHWA approval
_____	_____	Circulate final Environmental Impact Statement
_____	_____	Final record of decision approved by FHWA

### Location and Design Approval (Chapter 15)

_____	_____	Submit project proposal
_____	_____	Submit design report
_____	_____	Submit pavement design criteria
_____	_____	Meet public hearing requirements
_____	_____	Meet environmental requirements
_____	_____	Concurrence with BA effect determinations
_____	_____	ECS approval by FHWA
_____	_____	For major bridge project, submit type, size, and location study to MDT CTEP Engineer
_____	_____	Obtain FHWA approval of the type, size, and location study
_____	_____	For traffic signal projects, submit warrants for signalization to MDT CTEP Engineer
_____	_____	Obtain location and design approval
_____	_____	Publish design approval notice

### Right-of-Way Funding and Acquisition Funding (Chapter 4)

_____	_____	Project in STIP
_____	_____	Complete design hearing requirements
_____	_____	Approve right-of-way plan
_____	_____	Submit right-of-way relocation plan (if required) to MDT CTEP Engineer
_____	_____	Submit right-of-way acquisition plan, right-of-way project funding estimate or true cost estimate, supplement to Local Agency Agreement and FHWA approval of environmental documents, to MDT CTEP Engineer with request for right-of-way funds
_____	_____	Receive authorization to acquire ROW from MDT CTEP Engineer

### Acquisition (Chapter 10)

_____	_____	Acquisition procedures approved by MDT CTEP Engineer
_____	_____	Set up documentation file for each parcel
_____	_____	Set up commitment file
_____	_____	<b><u>Appraisal:</u></b>
_____	_____	Appraiser meets MDT criteria
_____	_____	Give landowner opportunity to accompany appraiser
_____	_____	Signed appraiser certification in file
_____	_____	<b><u>Appraisal Review:</u></b>
_____	_____	Appraisal reviewer meets MDT criteria
_____	_____	Date of value determination precedes commencement of negotiations
_____	_____	Just compensation set by agency
_____	_____	Signed review appraiser certification in file
_____	_____	<b><u>Negotiations:</u></b>
_____	_____	Ensure that private firms negotiators are licensed and have a licensed broker
_____	_____	Prepare diary of all owner contacts
_____	_____	Make appointment with property owner
_____	_____	Give owner written statement of just compensation
_____	_____	Ensure that settlement contains construction clauses

Initials      Date  
                 or N/A

_____	_____	Obtain evidence of clear title
_____	_____	Specify salvage

**Relocation Plan:**

- \_\_\_\_\_ Approved by MDT  
 \_\_\_\_\_ Furnished plan to person scheduled to be displaced  
 \_\_\_\_\_ Send written notice to vacate  
 \_\_\_\_\_ Pay last resort housing costs  
 \_\_\_\_\_ Check for filed appeal against local agency offer  
 \_\_\_\_\_ Complete relocation  
 \_\_\_\_\_ Complete acquisition  
 \_\_\_\_\_ Complete administrative settlement documentation  
 \_\_\_\_\_ Place a copy of deeds in file  
 \_\_\_\_\_ Send:  
     \_\_\_\_\_ Letter of certification  
     \_\_\_\_\_ LPA coordinator conducts certification review  
     \_\_\_\_\_ MDT's certification by MDT CTEP Engineer

**Plans, Specifications, and Estimates**  
 (Chapters 9, 11, and 16)

- \_\_\_\_\_ Review commitment and correspondence file  
 \_\_\_\_\_ When applicable, secure the following permits or interagency coordination:  
     \_\_\_\_\_ Airport roadway clearance from FAA  
     \_\_\_\_\_ Coastal zone management compliance from DOE  
     \_\_\_\_\_ For cultural, archeological, or historic sites SHPO contacted  
     \_\_\_\_\_ Obtain concurrence letters for environmental determination  
     \_\_\_\_\_ Request updated ESA species lists every six months  
     \_\_\_\_\_ When waters modified or controlled, USFWS and State Department of Fisheries and Wildlife consulted  
     \_\_\_\_\_ When stream is affected, permit from DOE  
     \_\_\_\_\_ For timber supporting land, permit from DNR  
     \_\_\_\_\_ When construction might reduce water quality, contact DOE  
     \_\_\_\_\_ For quarries of 2 acres (0.81 ha) and 10,000 tons (9,091 metric tons) or more --DNR contacted  
     \_\_\_\_\_ Waters/wetlands -- Army Corps of Engineers contacted  
     \_\_\_\_\_ For navigable waterways, permit from Coast Guard obtained  
     \_\_\_\_\_ If wetlands are affected, U.S. Fish and Wildlife Service or National Marine Fisheries Services contacted  
     \_\_\_\_\_ Utility agreement obtained  
     \_\_\_\_\_ Railway agreement(s) obtained  
 \_\_\_\_\_ PS&E completed:  
     \_\_\_\_\_ Vicinity map  
     \_\_\_\_\_ Summary of quantities  
     \_\_\_\_\_ Pit, quarry, stockpile, and waste sites  
     \_\_\_\_\_ Reclamation plans  
     \_\_\_\_\_ Roadway sections  
     \_\_\_\_\_ Plans/profiles  
     \_\_\_\_\_ Utility  
     \_\_\_\_\_ Structure notes  
     \_\_\_\_\_ Signing  
     \_\_\_\_\_ Illumination  
     \_\_\_\_\_ Bridge plans  
     \_\_\_\_\_ Traffic control  
     \_\_\_\_\_ Standard plans  
     \_\_\_\_\_ Sheets numbered and dated  
     \_\_\_\_\_ Each sheet signed and stamped by Professional Engineer  
         \_\_\_\_\_ Bridge plans, design calculations, and soil report to MDT CTEP Engineer (State Ad and Award only)  
     \_\_\_\_\_ Form FHWA-1273 and latest amendment included  
     \_\_\_\_\_ Log of test borings

_____	_____	Training requirements
_____	_____	EEO requirement clauses
_____	_____	For steel. Included Buy America requirement
_____	_____	Traffic control special provisions
_____	_____	Specialty items
_____	_____	General special provisions and amendments arranged in order and indexed
_____	_____	Project proposal
_____	_____	Federal Aid Proposal Notices (2 pages)
_____	_____	Noncollusion Declaration
_____	_____	Contract
_____	_____	Certification for Federal Aid Contracts (Lobbying)
_____	_____	DBE Utilization Certification
_____	_____	Engineer's estimate complete
_____	_____	Documentation for each item in engineer's estimated
_____	_____	Justification for nonparticipating items
_____	_____	Detailed documentation for lump sum items available in project files
_____	_____	Estimate to MDT CTEP Engineer
_____	_____	Training goal set by MDT CTEP Engineer
_____	_____	Sources approved by approving authority
_____	_____	Approval of stockpiling by MDT CTEP Engineer (when payment is requested for material when stockpiling aggregates, etc., for use on a future federal aid project)
_____	_____	Distribution of preliminary plans as determined by local agency
_____	_____	Field review of PS&E (State Ad and Award only)
_____	_____	For tied bids, letter from approving authority
_____	_____	For State Ad and Award, financial responsibility letter with PS&E documents sent to MDT CTEP Engineer
_____	_____	PS&E approved by approving authority
_____	_____	Plans, contract specifications and estimate stamped, signed, and dated, and on file in the local agency office
_____	_____	State and federal wage rates added to ad plans
_____	_____	PS&E sent to MDT CTEP Engineer

### **Request Construction Funds**

(Chapter 4)

_____	_____	Project in STIP
_____	_____	Send letter with the following attachments to MDT CTEP Engineer requesting construction funds:
_____	_____	Supplement to Local Agency Agreement, if project includes other phases
_____	_____	Letter of right-of-way certification
_____	_____	Final FHWA approval of environmental documents

### **Local Ad and Award**

Advertise for Bids (Chapter 17)

_____	_____	Get Highways and Local Programs Contract Number _____ from MDT CTEP Engineer
_____	_____	Approve ad period of less than 3 weeks
_____	_____	Publish notice of bid opening
_____	_____	Date of publication for sealed bids

Bid Opening (Chapter 17)

<u>Initials</u>	<u>Date or N/A</u>	
_____	_____	Issued addendum (if within one week of bid opening, bid opening should be delayed)
_____	_____	Opened Bids
_____	_____	Prepared bid tabulation sheet
_____	_____	Checked submitted bids for tabulation errors
_____	_____	Completed bid and bidders tabulation sheet
_____	_____	Checked DBE participation project goals verify DBE certification status
_____	_____	Determine responsive bid
_____	_____	Determine contractor qualifications
_____	_____	Contractor registered by Montana Department of Labor and Industries
_____	_____	Contractor licensed as required by the laws of the state of Montana
_____	_____	Award recommendation sent to approving authority
_____	_____	When low bid is over engineer's estimate, submit justification and letter of award recommendation to approving authority
_____	_____	Submit supplement to Local Agency Agreement
_____	_____	Supplement approved by Assistant Secretary for Highways and Local Programs

Award of Contract (Chapter 17)

_____	_____	Establish contract award date _____, _____
_____	_____	Sent 'Award Letter' to successful low bidder
_____	_____	Sent 'Condition of Award' to successful low bidder if DBE goals are set in the contract
_____	_____	Notify all unsuccessful bidders
_____	_____	Return bid bonds (except for first three)
_____	_____	Notify second and third bidders of holding bid bonds until execution
_____	_____	Sent to MDT CTEP Engineer:
_____	_____	_____ Tabulation of bids
_____	_____	_____ Engineer's estimate
_____	_____	_____ Actual versus estimated costs shown in Local Agency Agreement
_____	_____	_____ Award letter
_____	_____	_____ DBE utilization certification
_____	_____	_____ Estimated date of contract completion
_____	_____	DATE OF AWARD IS CUTOFF FOR CHARGING TO PRELIMINARY ENGINEERING

**Construction Administration**Execution of Contract (Chapter 17)

_____	_____	Sent contract and contract bond papers to contractor for signature
_____	_____	"Certificate of Insurance" received from contractor
_____	_____	Approving authority executed contract documents
_____	_____	Notified the contractor by phone of the execution of the contract
_____	_____	Executed a copy of the contract to contractor
_____	_____	Sent notice to proceed to contractor, with cc to MDT CTEP Engineer
_____	_____	Returned bid bonds to second and third bidders

Preconstruction Conference (Chapter 18)

_____	_____	Notice of preconstruction conference to:
_____	_____	_____ Contractor
_____	_____	_____ MDT CTEP Engineer
_____	_____	_____ Affected utility companies
_____	_____	_____ Police department
_____	_____	_____ Fire department

☐ Hospital  
☐ Ambulance service  
☐ Post Office  
☐ Others \_\_\_\_\_

☐ \_\_\_\_\_ Preconstruction conference agenda prepared  
☐ \_\_\_\_\_ Preconstruction conference held  
☐ \_\_\_\_\_ Minutes of meeting to:  
☐ \_\_\_\_\_ Contractor  
☐ \_\_\_\_\_ Subcontractors  
☐ \_\_\_\_\_ MDT CTEP Engineer  
☐ \_\_\_\_\_ Other attending persons  
☐ \_\_\_\_\_ Invited but not represented agencies  
☐ \_\_\_\_\_ Project file  
☐ \_\_\_\_\_ "Training Program":  
☐ \_\_\_\_\_ Received from contractor  
☐ \_\_\_\_\_ Approved by agency  
☐ \_\_\_\_\_ "Apprentice/Trainee":  
☐ \_\_\_\_\_ Approval request from contractor  
☐ \_\_\_\_\_ Approved by agency

### Construction Documentation (Chapter 19)

☐ \_\_\_\_\_ "Record of Material Testing" received from MDT Materials Laboratory  
☐ \_\_\_\_\_ Contractor provides copies of permits obtained from other agencies and/or property owners:  
☐ \_\_\_\_\_ Montana State Dept. of Wildlife/Fisheries-Hydraulic Permit  
☐ \_\_\_\_\_ Montana State Dept. of Ecology  
☐ \_\_\_\_\_ Irrigation Regional  
☐ \_\_\_\_\_ Burlington Northern Railroad  
☐ \_\_\_\_\_ Union Pacific Railroad  
☐ \_\_\_\_\_ Air Pollution Control Authority  
☐ \_\_\_\_\_ \_\_\_\_\_  
☐ \_\_\_\_\_ Temporary water pollution control plan approved  
☐ \_\_\_\_\_ Agency requests updated ESA species listing every six months  
☐ \_\_\_\_\_ Approved contractor's progress schedule  
☐ \_\_\_\_\_ Received railroad insurance from contractor  
☐ \_\_\_\_\_ Construction diary started  
☐ \_\_\_\_\_ Inspector's diary started  
☐ \_\_\_\_\_ 'Certification of Materials Origin' received from contractor  
☐ \_\_\_\_\_ Material source approval received Plans for falsework and forms:  
☐ \_\_\_\_\_ Received from contractor  
☐ \_\_\_\_\_ Approved by agency  
☐ \_\_\_\_\_ Required job site posters placed by contractor  
☐ \_\_\_\_\_ FHWA 1495 and 1495A -- "Wage Rate Information"  
☐ \_\_\_\_\_ FHWA 1022 -- "Fraud Notice Poster"  
☐ \_\_\_\_\_ OFCCP-1420 -- "FF0 is the Law"  
☐ \_\_\_\_\_ WISHA LI-41 6-81 -- "Safety and Health Protection on the Job"  
☐ \_\_\_\_\_ Industrial insurance poster --LI-242-91  
☐ \_\_\_\_\_ Your rights as a worker --F700-053-000  
☐ \_\_\_\_\_ Family care and maternity --F700-025-000  
☐ \_\_\_\_\_ Approved "Statement of Intent to Pay Prevailing Wage"  
☐ \_\_\_\_\_ Copy of wage rates from contract documents  
☐ \_\_\_\_\_ Daily construction signing records started (Checked twice daily and recorded)  
☐ \_\_\_\_\_ Weekly statement of working days started  
☐ \_\_\_\_\_ Material acceptance sampler appointed  
☐ \_\_\_\_\_ Material independent assurance sampler appointed  
☐ \_\_\_\_\_ Appointed office engineer for progress estimates and final records

_____	_____	Obtain a copy of the scale certifications
_____	_____	Daily scale check
_____	_____	Received FHWA Form 1391 for each July from contractor and subcontractors
_____	_____	FHWA Form 1392 prepared and sent to MDT CTEP Engineer
_____	_____	Received "Request to Sublet Work" and "Subcontractor or Agent Certification" from contractor
_____	_____	Approved request to sublet (subject to 70 percent limit) Received "Intent to Pay Prevailing Wages" from contractor, subcontractors, and agents
_____	_____	Received approved "Intent to Pay Prevailing Wages" from Labor and Industries (required before first payment)
_____	_____	Checked first certified payroll from contractor and subcontractors to ensure payment of prevailing wages
_____	_____	Conducted random check of each successive payroll
_____	_____	Wage rate interviews conducted
_____	_____	Checked employee interview wage rate against certified payroll and Labor and Industries approved prevailing rate
_____	_____	Assigned Change Order Numbers _____
		(MDT CTEP Engineer approval required when change order will alter the termini, character, or scope of work. Approval must be obtained before effective date of change order to be eligible for federal participation.)
_____	_____	_____ Prepare change order that details basis and need for the change
_____	_____	_____ Extension of time approved _____ days
_____	_____	_____ Change order signed by contractor
_____	_____	_____ Change order signed by surety (if required)
_____	_____	_____ Verbal approval obtained from approving authority
_____	_____	_____ Signed by approving authority
_____	_____	_____ Original sent to contractor
_____	_____	_____ Copy of approved change order sent to MDT CTEP Engineer
_____	_____	_____ Supplement to Local Agency Agreement approved by MDT CTEP Engineer
_____	_____	Obtained copy of monthly estimate
_____	_____	_____ Verified and documented that DBE is performing a commercially useful function prior to making a monthly payment
_____	_____	_____ Prepared estimate
_____	_____	_____ Checked estimate
_____	_____	_____ Estimate sent to contractor
_____	_____	_____ Estimate received from contractor
_____	_____	_____ Obtain all "Intent to Pay Prevailing Wages" forms (for first month only; no payment can be made to the contractor until the form is received)
_____	_____	Overview of DBE Work (Chapter 11):
_____	_____	_____ Verify work being done per Condition of Award Letter
_____	_____	_____ Conduct on-site review(s) of each DBE to determine if the DBE is performing a commercially useful function (CUF)
_____	_____	_____ Review change orders that affected DBE work
_____	_____	_____ DBE goal change approved by Assistant Secretary for Highways and Local Programs
_____	_____	Overview of EEO (Chapter 11):
_____	_____	_____ Agency designates an EEO officer
_____	_____	_____ Conduct on-site compliance review
_____	_____	_____ Monitor DOT Form 820-010 each month for each trade
_____	_____	_____ Notify contractor of compliance or non-compliance with the contract provisions
_____	_____	_____ Ensure EEO signs are posted

### Project Completion (Chapter 19)

\_\_\_\_\_      Date  
Initials      or N/A

\_\_\_\_\_ Prefinal inspection by local agency and contractor completed

_____	_____	Final inspection by local construction agency and contractor completed
_____	_____	Report of Non-American Made Material (Stand. Specs. 1-06.5) received from contractor
_____	_____	Notice of completion sent to contractor
_____	_____	Extension of time request with justification received from contractor
_____	_____	Extension of time granted, _____ days
_____	_____	Extension of time refused,
_____	_____	_____ days
_____	_____	_____ liquidated damages
_____	_____	Letter sent notifying contractor of assessed liquidated damages
_____	_____	Copy of completion notice requesting inspection and acceptance by MDT and FHWA sent to MDT CTEP Engineer
_____	_____	Contractor submitted claim
_____	_____	_____ No claim submitted
_____	_____	Notice of completion to:
_____	_____	_____ Department of Labor and Industries
_____	_____	_____ Department of Revenue
_____	_____	_____ Received from contractor
_____	_____	Received "Affidavit of Wages Paid" from contractor and subcontractors
_____	_____	Received ESA species listing for the project every six months
_____	_____	Received " <u>Quarterly Report</u> of Amounts <u>Credited as</u> DBE Participation" from contractor
_____	_____	Release received from Department of Labor and Industries
_____	_____	Release received from Department of Revenue
_____	_____	Comparison of preliminary and final quantities sent to approving authority
_____	_____	Material certification form sent to approving authority
_____	_____	Completed "Report of Contractor's Performance" for prime contractor
_____	_____	As built plan completed (to be retained indefinitely)
_____	_____	Final record book #1 completed
_____	_____	Final estimate approved by the approving authority
_____	_____	Final estimate received from contractor
_____	_____	Paid final estimate
_____	_____	Released retained percentage from escrow or mailed check to contractor

### Project Closure (Chapters 8 and 20)

_____	_____	Completion letter sent to MDT CTEP Engineer (within 15 days after project is completed)
_____	_____	Final billing sent to MDT CTEP Engineer (within 90 days after completion)
_____	_____	Completed final field inspection by the MDT CTEP Engineer. Deficiencies (if any) will be noted on DOT Form 140-500.
_____	_____	Resolve deficiencies found during the above field inspection
_____	_____	Informed by MDT CTEP Engineer of MDT final billing approval